

Under the Paperwork Reduction Act of 1995, no persons are required to respond to a collection of information unless it contains a valid OMB control number.

Substitute for form 1449A/PTO

**INFORMATION DISCLOSURE  
STATEMENT BY APPLICANT**

(Use as many sheets as necessary)



Complete if Known

Application Number 10/840,038

Filing Date May 6, 2004

First Named Inventor Adams, John

Group Art Unit 1646

Examiner Name Unknown - M. PAUL

Sheet 1 of 1

Attorney Docket No: 67789-003

**US PATENT DOCUMENTS**

Examiner Initial *	Cite No. *	USP Document Number	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear
mpp		US-5,639,741	08/17/1997	Witzel, et al.	

**FOREIGN PATENT DOCUMENTS**

Examiner Initials *	Cite No. *	Foreign Document No	Publication Date	Name of Patentee or Applicant of cited Document	Pages, Columns, Lines, Where Relevant Passages or Relevant Figures Appear	T <sup>2</sup>
		Country Code - Number - Kind Code (if known)				

**OTHER DOCUMENTS -- NON PATENT LITERATURE DOCUMENTS**

Examiner Initials *	Cite No. *	Include name of the author (in CAPITAL LETTERS), title of the article (when appropriate), title of the item (book, magazine, journal, serial, symposium, catalog, etc.), date, page(s), volume-issue number(s), publisher, city and/or country where published.	T <sup>2</sup>
---------------------	------------	---	----------------

Filed: \_\_\_\_\_

EXAMINER

MICHAEL PAUL

DATE CONSIDERED

4/13/07

Substitute Disclosure Statement Form (PTO-1449)

\* EXAMINER: Initial if reference considered, whether or not citation is in conformance with MPEP 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to applicant. 1 Applicant's unique citation designation number (optional) 2 Applicant is to place a check mark here if English language Translation is attached

FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office



Atty.  
Dkt. No.

M#

Client Ref.

81476-302961

ADAMS et al.

**INFORMATION DISCLOSURE STATEMENT  
BY APPLICANT**

Applicant: John S. ADAMS et al.

Appln. No.: 10/840,038

Filing Date: May 6, 2004

Examiner: Unknown M. PAK Group Art Unit: Unknown 1646

Date: August 19, 2004

Page

1

Of

4

**U.S. PATENT DOCUMENTS**

Examiner's Initials*		Document Number	Date MM/YYYY	Name (Family Name of First Inventor)	Class	Sub Class	Filing Date (if appropriate)
MDP	AR	5,962,667	10/05/99	Jain et al.			
↑	BR	US 6,476,196 B1	11/05/02	Ljunggren et al.			
↓	CR	US 6,528,676 B1	3/04/03	D'Amato et al.			
MDP	DR	US 6,531,149 B1	3/11/03	Kirstgen et al.			

**FOREIGN PATENT DOCUMENTS**

	Document Number	Date MM/YYYY	Country	Inventor Name		English Abstract	Translation Readily Available
						Enclosed	No
						Enclose	No
	ER						

**OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)**

MDP	FR	Brown, et al., Pituitary-Adrenal Function in the Squirrel Monkey, (1970) <i>Endocrinology</i> 86, 519-529					
↑	GR	Chrousos, et al., Glucocorticoid Hormone Resistance During Primate Evolution: Receptor-Mediated Mechanisms, (1982) <i>Proc. Natl. Acad. Sci. U.S.A.</i> 79, 2036-2040					
	HR	Chrousos, et al., Uterine Estrogen and Progesterone Receptors in an Estrogen- and Progesterone- "Resistant" Primate, (1984) <i>J. Clin. Endocrinol.</i> 58, 516-520					
	IR	Chrousos, et al., Adaptation of the Mineralocorticoid Target Tissues to the High Circulating Cortisol and Progesterone Plasma Levels in the Squirrel Monkey, (1984) <i>Endocrinology</i> 115,25-32.					
	JR	Chrousos, et al., Uterine Estrogen and Progesterone Receptors in an Estrogen- and Progesterone- "Resistant" Primate, (1984) <i>J. Clin. Endocrinol. Metab.</i> 58, 516-520					
	KR	Chrousos, et al., The Squirrel Monkey: Receptor-Mediated End-Organ Resistance to Progesterone?, (1985) <i>J. Clin. Endocrinol. Metab.</i> 55, 364-368					
	LR	Takahashi, et al., The Mechanism of End-Organ Resistance to 1 $\alpha$ ,25-dihydroxycholecalciferol in the Common Marmoset, (1985) <i>Biochem. J.</i> 227, 555-563					
	MR	Adams, et al., Serum Concentrations of 1,25-Dihydroxyvitamin D <sub>3</sub> in Playrrhini and Catarrhini: A Phylogenetic Appraisal, (1985) <i>Am. J. Primatol.</i> 9, 219-224					
	NR	Siiteri, P. K., High Plasma Steroid Levels in the Squirrel Monkey: Deficient Receptors or Metabolisms?, (1986) <i>Adv. Exp. Med. Biol.</i> 196, 276-286					
	OR	Gacad, et al., Influence of Ultraviolet B Radiation on Vitamin D <sub>3</sub> Metabolism in Vitamin D <sub>3</sub> -Resistant New World Primates, (1992) <i>Am. J. Primatol.</i> 28, 263-270					
	PR	Reynolds, et al., Glucocorticoid Resistance in the Squirrel Monkey Is Associated with Overexpression of the Immunophilin FKBP51, (1999) <i>J. Clin. Endocrinol. Metab.</i> 84, 663-669					
	QR	Reynolds, et al., Cloning and Expression of the Glucocorticoid Receptor from the Squirrel Monkey ( <i>Saimiri boliviensis boliviensis</i> ), a Glucocorticoid-Resistant Primate, (1997) <i>J. Clin. Endo. Metab.</i> 82, 465-472					
↓	RR	Chun, et al., Cloning, Sequencing, and Functional Characterization of the Vitamin D Receptor in Vitamin D-Resistant New World Primates (2001) <i>Am. J. Primatol.</i> 54, 107-118					
MDP	SR	Bonnegard, et al., The Genetic Basis of Glucocorticoid Resistance, (1995) <i>Trends. Endocrinol. Metab.</i> 6, 160-164					

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office

Atty.  
Dkt. No.

M#

Client Ref.

81476-302961

ADAMS et al.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant: John S. ADAMS et al.

Appln. No.: 10/840,038

Filing Date: May 6, 2004

Date: August 19, 2004

Page 2 Of 4

Examiner: Unknown

Group Art Unit: Unknown

OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

MDP	TR	Denny, et al., Squirrel Monkey Immunophilin FKBP51 Is a Potent Inhibitor of Glucocorticoid Receptor Binding, (2000) <i>Endocrinol.</i> 141, 4107-4113			
↑	UR	Chen, et al., The Vitamin D Response Element-Binding Protein, (2000) <i>J. Biol. Chem.</i> 275, 35557-35564.			
	VR	Chen, et al., Vitamin D and Gonadal Steroid-Resistant New World Primate Cells Express an Intracellular Protein Which Competes with the Estrogen Receptor for Binding to the Estrogen Response Element, (1997) <i>J. Clin. Invest.</i> 99, 669-675			
	WR	Chen, et al., Cloning and Expression of a Novel Dominant-Negative-acting Estrogen Response Element-binding Protein in the Heterogeneous Nuclear Ribonucleoprotein Family, (1998) <i>J. Biol. Chem.</i> 273, 31352-31357			
	XR	Chen, et al., Purification and Characterization of a Novel Intracellular 17β-Estradiol Binding Protein in Estrogen-Resistant New World Primate Cells, (2003) <i>J. Clin. Endocrinol. Metab.</i> 88, 501-504			
	YR	Gacad, et al., Functional Characterization and Purification of an Intracellular Vitamin D-binding Protein in Vitamin D-resistant New World Primate Cells, (1997) <i>J. Biol. Chem.</i> 272, 8433-8440			
	ZR	Wu, et al., Intracellular Vitamin D Binding Proteins: Novel Facilitators of Vitamin D-Directed Transactivation, (2001) <i>Mol. Endocrinol.</i> 14, 1387-1397			
	AAR	Gacad, et al., Proteins in the Heat Shock-70 Family Specifically Bind 25-Hydroxyvitamin D <sub>3</sub> and 17β-Estradiol, (1998) <i>J. Clin. Endocrinol. Metab.</i> 83, 1264-1267			
	BBR	Pasta, et al., Role of the Conserved SRLFDQFFG Region of α-Crystallin, a Small Heat Shock Protein, (2003) <i>J Biol Chem</i> 278, 51159-51166			
	CCR	Bullard, et al., Association of the Chaperone αB-crystallin with Titin in Heart Muscle, (2004). <i>J Biol Chem.</i> 279, 7917-7924			
	DDR	Sathish, et al., Mechanism of Chaperone Function in Small Heat-shock Proteins, (2003) <i>J Biol Chem.</i> 278, 44214-21			
	EER	Bhattacharyya, et al., Cloning and Subcellular Localization of Human Mitochondrial hsp70, (1995) <i>J. Biol Chem</i> 270, 1705-1710			
	FFR	Tamrazi, et al., Estrogen Receptor Dimerization: Ligand Binding Regulates Dimer Affinity and Dimer Dissociation Rate, (2002) <i>Mol Endocrinol.</i> 16, 2706-2719			
	GGR	Greene, et al., Sequence and Expression of Human Estrogen Receptor Complementary DNA, (1986) <i>Science</i> 231 (4742), 1150-1154			
	HHR	Hickey, et al., Sequence and Organization of Genes Encoding the Human 27 kDa Heat Shock Protein, (1986) <i>Nucleic Acid Res.</i> 14, 4127-4145			
	IIR	Witek, A., TYPY ALTERNATYWNEGO SKŁADANIA RECEPTORÓW ESTROGENOWYCH ALFA I BETA, (2003) <i>Ginekolog PolMar</i> 74, 246-51			
	JJR	Ferro, et al., Alternative Splicing of the Human Estrogen Receptor α Primary Transcript: Mechanisms of Exon Skipping, (2003) <i>Int J Mol Med.</i> 12, 355-63			
↓	KKR	Mckenna, et al., Nuclear Receptor Coregulators: Cellular and Molecular Biology, (1999) <i>Endocrine Reviews</i> 20, 321-344			
MDP	LLR	Kumar, et al., The Structure of the Nuclear Hormone Receptors, (1999) <i>Steroids</i> 64, 310-319			

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office

Atty.  
Dkt. No.

M#

Client Ref.

81476-302961

ADAMS et al.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant: John S. ADAMS et al.

Appln. No.: 10/840,038

Filing Date: May 6, 2004

Date: August 19, 2004

Page

3

Of

4

Examiner: Unknown

Group Art Unit: Unknown

OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

MDP	MMR	Klein-Hitpass, et al., Targets of Activated Steroid Hormone Receptors: Basal Transcription Factors and Receptor Interacting Proteins, (1998) <i>J. Mol. Med.</i> 76, 490-496				
	NNR	Simpson, et al., Minireview: Aromatase and the Regulation of Estrogen Biosynthesis—Some New Perspectives, (2001) <i>Endocrinol.</i> 142, 4589-4594				
	OOR	Labrie, et al., Intracrinology: role of the family of 17 $\beta$ -hydroxysteroid dehydrogenases in human physiology and disease, (2000) <i>J. Mol. Endocrinol.</i> 25,1-16				
	PPR	Kumar, et al., The Estrogen Receptor Binds Tightly to Its Responsive Element as a Ligand-Induced Homodimer, (1988) <i>Cell</i> 55,145-156				
	QQR	Wood, et al., Estrogen Response Elements Function as Allosteric Modulators of Estrogen Receptor Conformation, (1998) <i>Mol Cell Biol</i> 18,1927-1934				
	RRR	Chen, et al., Heterogeneous Nuclear Ribonucleoprotein (hnRNP) binding to hormone response elements: A cause of vitamin D resistance, (2003) <i>Proc. Natl. Acad. Sci. USA</i> 100, 6109-6114				
	SSR	Wu, et al., Regulation of 1,25-Dihydroxyvitamin D Synthesis by Intracellular Vitamin D Binding Protein-1, (2002). <i>Endocrinology</i> 143,4135-4138				
	TTR	Adams, et al., Novel Regulators of Vitamin D Action and Metabolism: Lessons Learned at the Los Angeles Zoo, (2003) <i>J Cell Biochem.</i> 88, 308-314				
	UUR	Ciocca, et al., Biological and Clinical Implications of Heat Shock Protein 27000 (Hsp27): a Review, (1993). <i>J Natl Cancer Inst</i> 85, 1558-1570				
	VVR	De Jong, et al., Genealogy of the $\alpha$ -crystallin – small heat-shock protein superfamily, (1998). <i>Int J Biol Macromol</i> 22, 151-162				
	WW	Narberhaus, $\alpha$ -Crystallin-Type Heat Shock Proteins: Socializing Minichaperones in the Context of a Multichaperone Network, (2002). <i>Microbiol Mol Biol Rev</i> 66, 64-93				
	XXR	Schlesinger, et al., Heat Shock Proteins, (1990). <i>J Biol Chem</i> 265, 12111-12114				
	YYR	Stock, et al., Heat Shock Protein 27 Gene: Chromosomal and Molecular Location and Relationship to Williams Syndrome, (2003). <i>Am J Med Genet</i> 120, 320-325				
	ZZR	Welsh, et al., Small Heat-Shock Protein Family: Function in Health and Disease, (1998). <i>Ann N Y Acad Sci</i> 851, 28-35				
	AAA	Young, et al., Molecular Chaperones Hsp90 and Hsp70 Deliver Preproteins to the Mitochondrial Import Receptor Tom70, (2003) <i>Cell.</i> 112, 41-50				
	BBB	Concannon, et al., On the Role of Hsp27 in Regulating Apoptosis, (2003). <i>Apoptosis</i> 8, 61-70				
	CCC	Gerthoffer, et al., Signal Transduction in Smooth Muscle Invited Review: Focal adhesion and small heat shock proteins in the regulation of actin remodeling and contractility in smooth muscle, (2001). <i>J Appl Physiol</i> 91, 963-72				
	DDD	Jia, et al., Identification and Characterization of hic-5/ARA55 as an hsp27 Binding Protein, (2001). <i>J Biol Chem</i> 276, 39911-8				
	EEE	Hasibeck, M., sHsps And Their Role in the Chaperone Network, (2002). <i>Cell Mol Life Sci</i> 59, 1649-1657				
	FFF	Fu, et al., Enhanced Stability of $\alpha$ B-Crystallin in the Presence of Small Heat Shock Protein Hsp27, (2003) <i>Biochem Biophys Res Commun</i> 302, 710-714				
MDP	GGG	MacRae, T. H., Structure and Function of Small Heat Shock/ $\alpha$ -Crystallin Proteins: Established Concepts and Emerging Ideas, (2000) <i>Cell Mol Life Sci</i> 57, 899-913				

Examiner

Date Considered:

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.

FORM PTO-1449 (modified)  
To: U.S. Department of Commerce  
(PW FORM PAT-1449)  
Patent and Trademark Office

Atty.  
Dkt. No.

M#

Client Ref.

81476-302961

ADAMS et al.

# INFORMATION DISCLOSURE STATEMENT BY APPLICANT

Applicant: John S. ADAMS et al.

Appln. No.: 10/840,038

Filing Date: May 6, 2004

Date: August 19, 2004

Page

4

of

4

Examiner: Unknown

Group Art Unit: Unknown

OTHER (Including in this order Author, Title, Periodical Name, Date, Pertinent Pages, etc.)

MDP	HHH	Oesterreich, et al., The Small Heat Shock Protein HSP27 Is Not an Independent Prognostic Marker in Axillary Lymph Node-negative Breast Cancer Patients, (1996). <i>Clin Cancer Res</i> 2, 1199-1206
↑	IIIR	Porter, et al., Role of Estrogen Receptor/Sp1 Complexes in Estrogen-Induced Heat Shock Protein 27 Gene Expression, (1996) <i>Mol Endocrinol.</i> 10, 1371-8
	JJJR	Porter, et al., Transcriptional activation of heat shock protein 27 gene expression by 17β-estradiol and modulation by antiestrogens and aryl hydrocarbon receptor agonists, (2001). <i>J Mol Endocrinol.</i> 26, 31-42
	KKK	Hutchison, et al., Regulation of Glucocorticoid Receptor Function through Assembly of a Receptor-Heat Shock Protein Complex, (1993) <i>Ann. N. Y. Acad. Sci.</i> 684, 35-48
	LLL	Sabbah, et al., The 90 kDa heat-shock protein (hsp90) modulates the binding of the oestrogen receptor to its cognate DNA, (1996) <i>Biochem. J.</i> 314, 205-213
	MMM	Clemmons, et al., Insulin-Like Growth Factor Binding Protein Secretion by Breast Carcinoma Cell Lines: Correlation with Estrogen Receptor Status, 1990 <i>Endocrinology.</i> 127, 2679-2686
	NNN	Smith, et al., Chemoprevention of Breast Cancer by Tamoxifen: Risks and Opportunities, (2000) <i>Crit Rev Toxicol.</i> 30, 571-594
	OOO	Riggs, et al., Selective Estrogen-Receptor Modulators – Mechanisms of Action and Application to Clinical Practice, (2003) <i>N Engl J Med.</i> 348, 618-629
	PPP	Takahashi, et al., Immunohistochemical Detection of Estrogen Receptor in Invasive Human Breast Cancer: Correlation with Heat Shock Proteins, pS2 and Oncogene Products, (1995) <i>Oncol.</i> 52, 371-375
	QQQ	Munoz de Toro, et al., Lack of Relationship Between the Expression of Hsp27 Heat Shock Estrogen Receptor-associated Protein and Estrogen Receptor or Progesterone Receptor Status in Male Breast Carcinoma (1997) <i>J. Steroid Biochem. Mol. Biol.</i> 60, 277-284
	RRR	Frye, et al., Enhancing effects of estrogen on inhibitory avoidance performance may be in part independent of intracellular estrogen receptors in the hippocampus, 2002 <i>Brain Res</i> 956, 285-293
↓	SSS	Ciana, et al., In vivo imaging of transcriptionally active estrogen receptors, 2003, <i>Nat Med</i> , 9, 82-86
MDP	TTT	Chen, et al., Purification and characterization of a novel intracellular 17 beta-estradiol binding protein in estrogen-resistant New World primate cells, 2003, <i>J Clin Endocrinol Metab.</i> , 88, 501-504
	UUU	
	VVV	
	WWW	
	XXX	
	YYY	
	ZZZ	

Examiner

MICHAEL DRA

Date Considered:

4/13/07

\*EXAMINER: Initial if citation considered, whether or not citation is in conformance with MPEP § 609. Draw line through citation if not in conformance and not considered. Include copy of this form with next communication to Applicant.